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PTO/SB/01 (10-01)
Approved for use through 10/31/2002 OMB 0651-0032
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| | | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|-----------------------|
| DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63) <input checked="" type="checkbox"/> Declaration Submitted OR with Initial Filing <input type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16(e) required) | Attorney Docket No. | TAG-3.2.001/3658 |
| | First Named Inventor | Alan Shapiro |
| | COMPLETE IF KNOWN | |
| | Application Number | to be assigned |
| | Filing Date | concurrently herewith |
| | Group Art Unit | to be assigned |
| | Examiner Name | to be assigned |

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

PREDICTIVE AUTOMATED ROUTING SYSTEM (PARS) FOR SECURITIES TRADING

(Title of the Invention)

the specification of which

☒ Is attached hereto

OR

☐ Was filed on (MM/DD/YYYY) _____ as United States Application Number or PCT International Application Number _____ and was amended on (MM/DD/YYYY) _____ (If applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT International application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application Number(s) | Country | Foreign Filing Date (MM/DD/YYYY) | Priority Not Claimed | Certified Copy Attached? YES NO |
|-------------------------------------|---------|----------------------------------|--------------------------|---------------------------------------------------|
| | | | <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> |
| | | | <input type="checkbox"/> | <input type="checkbox"/> <input type="checkbox"/> |

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

| Application Number(s) | Filing Date (MM/DD/YYYY) | <input type="checkbox"/> Additional provisional application Numbers are listed on a supplemental Priority data sheet PTO/SB/02B attached hereto. |
|-----------------------|--------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|
| | | |

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.

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DECLARATION - Utility or Design Patent Application

I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

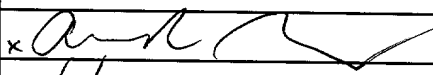
| Name | Registration Number | Name | Registration Number |
|--------------------|---------------------|------------------|---------------------|
| Peter T. Cobrin | 24,117 | Michael A. Adler | 38,810 |
| Marvin S. Gittes | 24,350 | Lawrence E. Russ | 35,342 |
| Richard M. Lehrer | 38,536 | | |
| David W. Denenberg | 40,986 | | |
| Robert J. Hess | 32,139 | | |

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Telephone: (212) 486 - 4000 - Facsimile: (212) 486 - 4007

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

| | |
|---------------------------------|-------------------------------------------------------------------------------------|
| Name of Sole or First Inventor: | [] A petition has been filed for this unsigned inventor |
| Given Name: | Alan Shapiro |
| Inventor's Signature: |  |
| Date: | 1/9/2001 |
| Residence: City/State/Country | Greenlawn, New York |
| Mailing Address: | 37 West Maple Road, Greenlawn, New York 11740 |
| Citizenship: | U.S.A. |

| | |
|--------------------------------|----------------------------------------------------------|
| Name of Second Inventor: | [] A petition has been filed for this unsigned inventor |
| Given Name: | |
| Inventor's Signature: | |
| Date: | |
| Residence: City/State/Country: | |
| Mailing Address: | |
| Citizenship: | |

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